

**U.S. Department of Labor Office of the Assistant Secretary for  
Veterans' Employment and Training Service  
200 Constitution Avenue, NW, Room S-1312  
Washington, D.C. 20210**



DIRECTOR'S MEMORANDUM NO: **#18-05, correction #1**

FOR: REGIONAL ADMINISTRATORS AND DIRECTORS FOR  
VETERANS' EMPLOYMENT AND TRAINING

FROM: F. PAUL BRIGGS [Approved]  
Director, OAMB

SUBJECT: VETS' Internal Control Evaluation (ICE) Surveys, FY 2005

**Reference:** Director's Memorandum 15 -04

**Purpose:** This memorandum describes this year's internal control evaluation process and survey tools, and sets forth the timetable for completion of the process.

**Background:** In FY 2004 the agency introduced new internal control evaluation (ICE) tools in the form of comparable versions of the GAO's Internal Control management and Evaluation Tool for managers and non-managers, greatly scaled down from the original size of the GAO's prototype (180 pages!) and tailored to the relative proportions of internal control responsibilities typically distributed in VETS between management and non-management personnel.

The first year's experience indicated that the survey forms could and should be edited even further by eliminating overlapping standards, that more opportunities existed to revise the language of the standards to make them more VETS-specific, and that the method for responding to all of the statements could and should be simplified. Changes were made in both of the survey documents that reflect those lessons learned.

Managers (meaning all personnel whose positions are officially recognized by DOL as supervisory or management) will be required to provide narrative explanations for all statements that they score "5" or less; because such ratings indicate that the manager or supervisor thinks there may be a problem with that particular area of internal control, the agency wants to surface the problem as quickly as possible.

Non-managers (meaning all personnel except those in positions officially recognized by DOL as supervisory or management) will be required to complete the version of the ICE tool developed especially for them. There are two significant differences in the administration of the two surveys: non-management staff are not required to submit narrative explanations for all statements that they score "5" or less, and their individual survey responses are to be input directly from their own terminals, in order to guarantee anonymity to the respondents. These guarantees of anonymity help to protect the integrity of the information and improve the likelihood of discovering potentially serious risks to the agency's resources and its ability to accomplish its mission.

The survey process will be very similar to last year's. All staff will receive electronic versions of the new survey instruments and specific instructions for inputting the responses directly into the system. DVETs will also send copies of their responses to their respective supervising RAVETs. All inputs will go to the URLC in Atlanta, where RLC Manager Bo Wroble will ensure the confidential compilation of non-manager survey results for each region, the accurate construction of regional composite reports that portray the overall results for both surveys, and the return of said summary data for analysis and action by line and program management.

Regional Administrators will be required to include their ICE composite reports as attachments to their annual State of the Region letter to the ASVET, and include their own analyses and summary of actions taken or planned to be taken in response to findings indicative of internal control problems. It is assumed that the RAVETs will require similar documentation from DVETs.

Please note that National Office managers and non managers this year will also be completing the relevant ICE survey document.

### **Actions:**

1. The new FY 2005 ICE survey tools and appropriate instructions will be distributed to VETS staff electronically via email from URLC Coordinator Bo Wroble, with the following email subject line reference: "Internal Control Evaluation (ICE) tool." Hard copies of those ICE tools are attached here for reference only; note that responses must be submitted electronically, as described in items #2 & #3 below. All supervisors are to ensure that all staff are in receipt of the appropriate electronic survey tool by August 8, 2005.

2. By August 22, 2005, all staff must complete and send their individual survey responses via email attachment to Bo Wroble. **Managers must also send a cc of their individual survey responses to their own supervisor; however, non-managers should not send their responses to anyone other than Bo (as described in Bo's transmittal email).**

3. The Atlanta URLC will provide status reports to the RAVETs throughout the survey input stage, ending this feedback when all responses have been received.

4. The Atlanta URLC will compile the results for each Region and produce one composite report of the non-managers' responses and one of the managers' responses, delivering the report to the respective RAVETs by August 26, 2005.

5. Each RAVET will review the results, take appropriate follow up actions, and prepare his summary report for inclusion with his SOR, by the date set forth in the Director's Memorandum concerning that document (DM No. 16-05).

Any questions or problems regarding the ICE Program should be directed, please, to Eric Rudert in VETS' National Office (202) 693-4746. Technical questions regarding the input of survey responses should be directed to Bo Wroble at the Atlanta RLC (404) 562-2305.

**Expiration Date:**      Until superseded

**Attachments:**      2005 ICE Survey Tool for Managers  
2005 ICE Survey Tool for Non Managers

